



Child Care and Development Fund Plan

For

State/Territory:

FFY 2012-2013

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2011 – 9/30/2013. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described herein.

For purposes of simplicity and clarity, the specific provisions printed herein of applicable laws and regulations are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text. The Lead Agency acknowledges its responsibility to adhere to them regardless of these modifications.

Public reporting burden for this collection of information is estimated to average 162.5 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Form ACF-118 Approved OMB Number **XXX-XXX expires **XXX**.**

TABLE OF CONTENTS

Part 1: Administration

- 1.1. Contact Information**
- 1.2. Estimated Funding**
- 1.3. Administration of the Program**
- 1.4. CCDF Program Integrity and Accountability**
- 1.5. Consultation in the Development of the CCDF Plan**
- 1.6. Coordination Activities to Support the Implementation of CCDF Services**
- 1.7. Child Care Emergency Preparedness and Response Plan**

Part 2: CCDF Subsidy Program Administration

- 2.1. Family Outreach and Application Process**
- 2.2. Eligibility Criteria for Child Care**
- 2.3. Sliding Fee Scale and Family Contribution**
- 2.4. Prioritizing Services for Eligible Children and Families**
- 2.5. Parental Choice In Relation to Certificates, Grants or Contracts**
- 2.6. Payment Rates for Child Care Services**

Part 3: Health and Safety and Quality Improvement Activities

- 3.1. Activities to Ensure the Health and Safety of Children in Child Care (Component #1)**
- 3.2. Establishing Early Learning Guidelines (Component #2)**
- 3.3. Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities including Quality Rating and Improvement Systems (Component #3)**
- 3.4. Pathways to Excellence for the Workforce – Professional Development Systems and Workforce Initiatives (Component #4)**

Amendments Log

Appendix 1: Quality Performance Report

Appendix 2: CCDF Program Assurances and Certifications

PART 1

ADMINISTRATION

This section provides information on how the CCDF program is administered, including the designated Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and emergency preparedness plans and procedures.

1.1 Contact Information

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1.1 Who is the Lead Agency designated to administer the CCDF program? Identify the Lead Agency and Lead Agency's Chief Executive Officer designated by the State/Territory. ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals and disallowance notifications to the designated contact identified here. (658D(a), §98.10)

Name of Lead Agency:
Address of Lead Agency: ____
Name and Title of the Lead Agency's Chief Executive Officer: ____
Phone Number: ____
Fax Number: ____
E-Mail Address: ____
Web Address for Lead Agency (if any): ____

1.1.2. Who is the CCDF administrator? Identify the CCDF administrator, the day-to-day contact, with responsibility for administering the State/Territory's CCDF program. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator. (§§98.16(a) and (c)(1))

Name of CCDF Administrator: ____
Title of CCDF Administrator: ____
Address of CCDF Administrator: ____
Phone Number: ____
Fax Number: ____
E-Mail Address: ____
Web Address for Lead Agency (if any): ____

Draft for Public Comment – September 24, 2010

Phone Number for CCDF program information (for the public) (if any): ____
 Web Address for CCDF program (for the public) (if any): ____
 Web address for CCDF program policy manual: (if any): ____
 Web address for CCDF program administrative rules: (if any): ____

1.2 Estimated Funding

1.2.1. What is your expected level of funding for the first year of the FY 2012 – FY 2013 plan period? The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2012 through September 30, 2013. (§98.13(a)).

FY 2012 CCDF allocation: \$____
 Federal TANF Transfer to CCDF: \$____
 Direct Federal TANF Spending on Child Care: \$____
 State CCDF Maintenance of Effort Funds: \$____
 State Matching Funds: \$____
 Total Funds Available: \$____

Reminder – Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs once all FY2012 funds have been liquidated. State Maintenance of Effort funds are not subject to this limitation.

1.2.2. Will the Lead Agency use any of the following funds to meet the CCDF Matching and maintenance-of-effort (MOE) requirements described in 98.53(e) and 98.53(h)? At a minimum, the Lead Agency must check at least public or private funds as matching, even if pre-kindergarten funds also are used.

The Lead Agency will use (Check all that apply):	Follow-up questions if funds are checked
<input type="checkbox"/> Public Funds to meet the CCDF Matching Fund requirement Public funds may include any general revenue funds, county or other local public funds, State/Territory-specific funds (tobacco tax, lottery), or any other public funds.	Identify source of funds

Draft for Public Comment – September 24, 2010

The Lead Agency will use (Check all that apply):	Follow-up questions if funds are checked			
<input type="checkbox"/> Private Donated Funds to meet the CCDF Matching Funds requirement Only private funds received by the designated entities or by the Lead Agency may be counted for match purposes. (98.53(f))	Are those funds donated directly to the State?			
<input type="checkbox"/> State expenditures for Pre-K programs to meet the CCDF Matching Funds requirement	Are those funds donated to a separate entity(ies) designated to receive private donated funds?	How many entities are designated to receive private donated funds?	For each entity, provide name, address, contact and type.	
<input type="checkbox"/> State expenditures for Pre-K programs to meet the CCDF Maintenance of Effort (MOE) requirements	Estimated percentage of Matching Fund requirement that will be met with pre-k expenditures (not to exceed 30%)	If percentage is more than 10% of the Matching fund requirement, describe how the State will coordinate its pre-k and child care services	Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents. [Click for examples]	
<input type="checkbox"/> Other funds. List and Describe _____	The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.53(h)(1).	Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%)	If percentage is more than 10% of the MOE requirement, describe how the State will coordinate its pre-k and child care services to expand the availability of child care.	Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents.

1.3. Administration of the Program

The Lead Agency has broad authority to administer the program through other governmental, non-governmental, or other public or private local agencies as long as it retains overall responsibility for the administration of the program. (658D(b), §98.11(a))

Draft for Public Comment – September 24, 2010

1.3.1. Is the CCDF program in your State/Territory (check only one):

- State/Territory-administered. The State/Territory promulgates all CCDF program administration rules and policies. All program policies are set by the State/Territory.
- State/Territory-supervised, county-administered. The following CCDF program administration rules and policies are promulgated by a county or other local entity and monitored by the State/Territory for compliance with CCDF regulations. Check all that apply and provide the name of each county or local entity as **Attachment 1.3.1** for each box that is checked.
 - Eligibility requirements
 - Sliding fee scale
 - Payment rates
- Other. Describe. ____

1.3.2. How will the CCDF program be administered and implemented? In Table 1.3.2., identify which agency(ies) perform these CCDF services and activities. If program administration is devolved to local agencies, check the entity(ies) that perform each activity.

Table 1.3.2. CCDF Program Administration and Implementation

CCDF Services/Activities	Agency (Check all that apply)
Who determines eligibility?	<input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. ____ <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> For-profit private vendors/contractor <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. ____
Who assists parents in locating child care (consumer education)?	<input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. ____ <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> For-profit private vendors/contractor <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. ____
Who issues provider payments?	<input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. ____ <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> For-profit private vendors/contractor <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. ____

Draft for Public Comment – September 24, 2010

CCDF Services/Activities	Agency (Check all that apply)
Who administers quality activities?	<input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. ____ <input type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> For-profit private vendors/contractor <input type="checkbox"/> Child care resource and referral agencies <input type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. ____
Other. List and describe	

1.4. CCDF Program Integrity and Accountability

Program integrity is defined to include efforts that ensure effective internal controls over the administration of CCDF funds. The Lead Agency will be responsible for monitoring programs and services, ensuring compliance with the rules of the program, promulgating rules and regulations to govern the overall administration of the plan and oversee the expenditure of funds by sub-grantees and contractors. (§ 98.11(b)) Accountability measures should address reducing improper payments due to administrative error, fraud, waste, and abuse.

1.4.1. Describe the strategies the Lead Agency employs to ensure effective internal controls are in place. The discussion of internal controls may include, but is not limited to, a description of processes to ensure sound fiscal management, to identify areas of risk and establish safeguards for technology information and critical records, to identify areas of risk outside of fiscal management, or to establish regular evaluation of control activities. _____

1.4.2 Describe the processes the Lead Agency uses to monitor all sub-recipients. Lead Agencies that use other governmental or non-governmental sub-recipients to administer the program must have written agreements in place outlining roles and responsibilities for meeting CCDF requirements. The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures. _____

1.4.3. Describe the activities the Lead Agency has in place to identify fraud and administrative error to ensure program integrity.

Type of Activity	Fraud	Administrative Error
Share/match data from other programs		
Run system reports that flag errors (include types)		
Review of attendance or billing records		
Audit provider records		
Quality control reviews		

Draft for Public Comment – September 24, 2010

Conducts supervisory staff conduct reviews		
Conduct data mining to identify trends		
Other: _____		

1.4.4. What strategies will the Lead Agency use to investigate and collect improper payments due to fraud or administrative error? Check all that apply.

- Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount _____
- Designate a staff person to monitor and identify improper payment
- Coordinate with and refer to other State/Territory agency (e.g., State/Territory collection agency, law enforcement). Describe _____
- Recover through repayment plans
- Reduce payments in the subsequent months
- Recover through State/Territory tax intercepts
- Recover through other means. Describe _____
- Establish a fraud/improper payment unit. Describe the composition of unit _____
- Other. Describe. _____

1.4.5. What type of sanction does the Lead Agency place on clients and providers to help reduce improper payments due to fraud? Check all that apply.

- None
- Disqualify client
- Disqualify provider
- Prosecute criminally
- Other. Describe. _____

1.4.6. Based on responses provided in the most recent ACF-402 report, please describe actions the Lead Agency has taken or plans to take to reduce identified errors in the chart below.

Activities identified in ACF-402	Actions Taken or Planned

1.5. Consultation in the Development of the CCDF Plan

Lead Agencies are required to *consult* with appropriate agencies in the development of its CCDF Plan (§98.12, §98.14(a),(b), §98.16(d)).

Draft for Public Comment – September 24, 2010

Definition: *Consultation* involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the State or Territory CCDF Plan. At a minimum, Lead Agencies must consult with representatives of general purpose local governments. (§§98.12(b), 98.14(a)(1))

1.5.1. Identify and describe in Table 1.5.1 who the Lead Agency consulted with in the development of the CCDF Plan (658D(b)(2), §§98.12(b), 98.14(b)).

Table 1.5.1. Lead Agency Consultation Efforts

Agency/Entity	Identify and describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input type="checkbox"/> Representatives of local government, including local human services, education, or public health agencies (required)	
<input type="checkbox"/> State/Territory agency responsible for public education, including State pre-kindergarten programs, inclusion programs for children with special needs, and higher education	
<input type="checkbox"/> State/Territory agency with the Head Start Collaboration grant, and/or Statewide Advisory Council funded by the Head Start Act	
<input type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing child care and early childhood development services	
<input type="checkbox"/> State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	
<input type="checkbox"/> State/Territory agency responsible for child welfare	
<input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives	
<input type="checkbox"/> State/Territory agency responsible for employment services/workforce development	
<input type="checkbox"/> State/Territory agency responsible for TANF	
<input type="checkbox"/> Indian Tribes/Tribal Organizations, when such entities exist within the boundaries of the State	
<input type="checkbox"/> Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families	
<input type="checkbox"/> Provider groups or associations	
<input type="checkbox"/> Other	

1.5.2. Describe the Statewide/Territory-wide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. (658D(b)(1)(C), §98.14(c)) At a minimum, the description should include:

Draft for Public Comment – September 24, 2010

- a) Date(s) of notice of public hearing: ___ **Reminder - Must be at least 20 days prior to the date of the public hearing.**
- b) How was the public notified about the public hearing?
- c) Date(s) of public hearing(s): ___ **Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2011).**
- d) Hearing site(s): ___
- e) How was the content of the Plan made available to the public in advance of the public hearing(s)? ___
- f) How was the information provided by the public taken into consideration in the development of the Plan? ___
- g) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? ___

1.5.3. Briefly describe any innovative practices the Lead Agency used as part of its Plan consultation and/or public hearing process. _____

1.6. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a), (b), §98.16(d)).

Indicate the entities with which the Lead Agency has **coordinated** (as defined below), by checking the appropriate box(es) in Table 1.6.1.

Definition - Coordination involves the coordination of child care and early childhood development services, including efforts to work across multiple entities, both public and private (such as in connection with a State Early Childhood Comprehensive System (SECCS) grant or the State Advisory Council funded under the Head Start Act of 2007) (658D(b)(1)(D), §§98.12(a), 98.14(a)(1))

1.6.1. Identify and describe in Table 1.6.1 who the Lead Agency coordinates with in the delivery of child care and early childhood services (§98.14(a)(1)).

Table 1.6.1. Lead Agency Coordination Efforts

Agency/Entity	Identify and describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services.	Describe the tangible goals or results you are expecting from the coordination Examples include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.

Draft for Public Comment – September 24, 2010

Agency/Entity	Identify and describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services.	Describe the tangible goals or results you are expecting from the coordination Examples include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
<input type="checkbox"/> Representatives of local government, including local human services, education, or public health agencies (required)		
<input type="checkbox"/> State/Territory agency responsible for public education, including State pre-kindergarten programs, inclusion programs for children with special needs, and higher education (required)		
<input type="checkbox"/> State/Territory agency with the Head Start Collaboration grant, and/or Statewide Advisory Council funded by the Head Start Act (required)		
<input type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing child care and early childhood development services (required)		
<input type="checkbox"/> State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health) (required)		
<input type="checkbox"/> State/Territory agency responsible for child welfare		
<input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives		
<input type="checkbox"/> State/Territory agency responsible for employment services / workforce		

Draft for Public Comment – September 24, 2010

Agency/Entity	Identify and describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services.	Describe the tangible goals or results you are expecting from the coordination Examples include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
development (required)		
<input type="checkbox"/> State/Territory agency responsible for TANF (required)		
<input type="checkbox"/> Indian Tribes/Tribal Organizations, when such entities exist within the boundaries of the State (required)		
<input type="checkbox"/> Private agencies/entities, including national initiatives the Lead Agency is participating in such as BUILD, Strengthening Families		
<input type="checkbox"/> Local community organizations (child care resource and referral, Red Cross)		
<input type="checkbox"/> Provider groups or associations		
<input type="checkbox"/> Other		

1.6.2. Does the State/Territory have a formal early childhood coordination plan?

- Yes. Provide a weblink to the plan, if available: _____
- No

1.6.3. Does the State/Territory have a designated entity responsible for coordination across early childhood and school-age programs? (658D(b)(1)(D), §98.14(a)(1)) Check all that apply.

- State/Territory-wide early childhood cabinet/advisory council/task force/commission. Describe ____
- State Advisory Council (as described under the Head Start Act of 2007). Describe ____
 - Yes – if yes, describe the Lead Agency’s role _____
 - No
- Other. Describe ____

1.6.4. Does the Lead Agency conduct or plan to conduct activities to encourage public-private partnerships that promote private sector involvement in meeting child care needs? (§98.16(d))

- Yes. If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership ____
- No.

1.7. Child Care Emergency Preparedness and Response Plan

It is recommended that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster.

1.7.1. Indicate which of the following best describes the current status of your efforts in this area. Check only ONE.

- Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.
- Developed.** A plan has been implemented as of [**insert date**]. Provide a weblink to this plan, if available: _____
- Other. Describe:** ____

1.7.2. Indicate which of the identified core elements are covered in the Lead Agency child care emergency preparedness and response plan. Check all that apply.

- Planning for continuation of services to CCDF families
- Coordination with other State/Territory agencies and key partners
- Emergency preparedness regulatory requirements for child care providers
- Provision of temporary child care services after a disaster
- Rebuilding child care after a disaster

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

This section focuses on the child care assistance program. Lead Agencies are asked to describe their efforts to inform parents about the subsidy program and application policies and procedures, eligibility criteria, how Lead Agencies ensure continuity of care and parental choice of high quality settings for families, and sliding fee scale and payment rate policies and procedures.

2.1. Family Outreach and Application Process

Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for and potentially receive child care services. (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a)-(e).

2.1.1. How are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a)) Check all that apply.

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors
- Community-based organizations
- Public schools
- Internet (provide website): ____
- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other: ____

2.1.2. How can parents apply for CCDF services? (658(c)(2)(D) & 3(B), §98.16(h)) Check all that apply.

- In person interview or orientation required
- By mail
- Phone/Fax
- Internet (provide website) ____
- Email
- Other: ____

2.1.3. Describe how the Lead Agency informs parents applying for CCDF assistance an assessment of the quality of care provided by various

Draft for Public Comment – September 24, 2010

providers. For example, memorandums of understanding with resource and referral agencies to provide consumer education to families applying for CCDF assistance, providing parents with provider lists showing licensing history and/or QRIS ratings, or informational brochures that address importance of quality and different care options available. _____

2.1.4. Describe how the Lead Agency supports child care programs to increase the likelihood that CCDF-served children receive higher quality care. For example, methods used to promote upward movement in quality rating system, methods used to encourage high quality programs to participate in the subsidy program, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities. _____

2.1.5. How does the Lead Agency reduce barriers to initial eligibility? Check all that apply.

- Increase parent access by extending office hours, having multiple office locations, providing a toll-free number for clients
- Simplify application and/or re-determination process, such as reduced application form or single application for multiple programs or moving some processes to the phone or web
- Coordinate eligibility policies across programs
- Include temporary periods of unemployment in eligibility criteria (job search, seasonal unemployment)
- Streamline verification procedures, such as linking to other program data systems
- Other. Describe: _____

2.1.6. Describe the Lead Agencies policies that promote continuity of care for children and stability for families? (Check all that apply)

- Provide CCDF assistance during periods of job search
- Establish two-tiered income eligibility with a higher exit point than entry point to cover temporary changes in family's circumstances
- Synchronize review date across programs
- Longer eligibility re-determination periods (e.g., 1 year). Describe _____
- Extend periods of eligibility for families who are also enrolled in Head Start or pre-k programs. Describe _____
- Minimize reporting requirements for changes in eligibility criteria, such as changes in income above a certain threshold or change in employment
- Targeted case management to help families find and keep stable child care arrangements
- Suspending authorization or payment rather than terminating eligibility to cover temporary changes of family's circumstances
- Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year
- Other. Describe _____

Draft for Public Comment – September 24, 2010

2.1.7. How does the Lead Agency reach out and provide services to eligible families with limited English proficiency, including how the Lead Agency overcomes language barriers with families and providers? (§§98.16(g)(5), 98.20(b)) Check all that apply.

- Application in other languages
- Informational materials in other languages
- Training and technical assistance in other languages
- CCDF agency web site in other languages
- Family can apply at local community-based locations
- Bilingual caseworkers or interpreters available
- Other: ____

2.1.8. Describe the Lead Agency documentation requirements and verification processes for applicants. (658K(a)(1), §§98.70(a), 98.71(a)) Check all that apply. Attach a copy of your parent application for the child care subsidy program(s) as Attachment 2.1.8.

The Lead Agency requires documentation of:	Describe how the Lead Agency verifies applicant information:
<input type="checkbox"/> Applicant identity. Describe _____	
<input type="checkbox"/> Household composition. Describe _____	
<input type="checkbox"/> Applicant's relationships to the child. Describe _____	
<input type="checkbox"/> Child's information: <ul style="list-style-type: none"> <input type="checkbox"/> Birth certificates/Vital records <input type="checkbox"/> Immunization records <input type="checkbox"/> Other: ____ 	
<input type="checkbox"/> Work, Job Training or Educational Program: <ul style="list-style-type: none"> <input type="checkbox"/> Letters of employment <input type="checkbox"/> Self-employment bookkeeping records <input type="checkbox"/> Work schedules <input type="checkbox"/> School registration records <input type="checkbox"/> Other: ____ 	
<input type="checkbox"/> Income: <ul style="list-style-type: none"> <input type="checkbox"/> Pay stubs <input type="checkbox"/> Income tax records <input type="checkbox"/> Child support enforcement records <input type="checkbox"/> Other: ____ 	
Other. Describe _____	

2.1.9. Does the Lead Agency monitor the timeliness of eligibility determinations/re-determinations?

Draft for Public Comment – September 24, 2010

- Yes. If yes, what is the policy for the length of time from when a completed application is received (including supporting documentation) for families to be authorized for services?
- Within 24 hours
 - Within 1 week (5 business days)
 - Within 2 weeks (10 business days)
 - Within 1 month (30 business days)
 - Other: ____
 - Length of eligibility varies by jurisdiction. Describe: ____
- No.

2.1.10. Is the application process different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

- Yes. If yes, describe: ____
- No.

2.1.11. Informing Parents Who Receive TANF benefits about the Exception to the Individual Penalties Associated with the TANF Work Requirement

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth in the statute and Plan.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE:** The TANF agency, not the Child Care Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

- a) Identify the TANF agency that established these criteria or definitions:
State TANF Agency ____
- b) Provide the following definitions established by the TANF agency.
 - "appropriate child care": ____
 - "reasonable distance": ____
 - "unsuitability of informal child care": ____
 - "affordable child care arrangements": ____
- c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

Draft for Public Comment – September 24, 2010

- In writing
- Verbally
- Other: ____

2.2. Eligibility Criteria for Child Care

In order to be eligible for services, a child must (1) be under the age of 13, or under the age of 19 if the child is physically or mentally disabled or under court supervision; (2) reside with a family whose income is less than 85 percent of the State’s median income for a family of the same size; and (3) reside with a parent or parents who is working or attending job training or an educational program; or (4) be receiving or needs to receive protective services. (658P(3), §98.20(a))

2.2.1. How does the Lead Agency define the following eligibility terms?

- *residing with* - ____
- *in loco parentis* - ____

2.2.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from _____ weeks to _____ years (maximum age under age 13).

b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

- Yes, and the upper age is ____ . Provide a definition of *physical or mental incapacity* - ____
- No.

c) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

- Yes, and the upper age is ____
- No.

2.2.3. Eligibility Criteria Based Upon Work, Job Training or Educational Program

a) How does the Lead Agency define “working” and “residing with” for the purposes of eligibility? Provide a narrative description of both terms below and include specific activities and the minimum number of hours.

Reminder – Lead Agencies have the flexibility to include any work-related activities in its definition of working, including periods of job search. (§§98.16(f)(3), 98.20(b))

- *working* - ____

Draft for Public Comment – September 24, 2010

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program? (§§98.16(g)(5), 98.20(b))

Yes. If yes, how does the Lead Agency define “attending job training or educational program” for the purposes of eligibility? Provide a narrative description below. **Reminder** – Lead Agencies have the flexibility to include any training or education-related activities in its definition of job training or education, including study time.

- *attending job training or educational program* – ____

No.

2.2.4. Eligibility Criteria Based Upon Receiving or Needing to Receive Protective Services

a) Does the Lead Agency provide child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

Yes. If yes, how does the Lead Agency define “protective services” for the purposes of eligibility? Provide a narrative description below. **Reminder** – Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases. If the Lead Agency provides CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities for CCDF purposes these children are considered to be in protective services and should be included in this definition.

- *protective services* – ____

No.

b) Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

Yes.

No.

2.2.5. Income Eligibility Criteria

a) How does the Lead Agency define “income” for the purposes of eligibility? Provide the Lead Agency’s definition of “income” for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

Draft for Public Comment – September 24, 2010

- *income* – ___

b) Is any income deducted or excluded from calculations of total family income?

- Yes. If yes, **check** what type of income is deducted or excluded from total family income.
- Adoption subsidies, foster care payments
 - Alimony received or paid
 - Child support received
 - Federal nutrition programs
 - Federal and/or State/Territory tax credits
 - Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
 - Medical expenses or health insurance related expenses
 - Military housing or other allotment/bonuses
 - Scholarships, education loans, grants, income from work study
 - Social Security Income
 - Unemployment Insurance
 - Child support received
 - Temporary Assistance for Needy Families (TANF)
 - Worker Compensation
 - Other types of income not listed above: ___
- No.

c) Whose income is excluded for purposes of eligibility determination? **Check all that apply.**

- Children under age 18
- Children age 18 and over – still attending school
- Teen parents living with parents
- Unrelated members of household
- All members of household except for parents/legal guardians
- Other: ___

d) Provide the CCDF income eligibility limits. **Reminder** - Income limits must be provided in terms of State Median Income (SMI) even if federal poverty level is used in implementing the program. (§98.20(a)(2))

Complete columns (a) and (b) in Table below based upon initial entry into the CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

Draft for Public Comment – September 24, 2010

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE	
			Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (d) by (a), multiply by 100]
1				
2				
3				
4				
5				

Note: Table should reflect maximum eligibility upon initial entry into the CCDF program.

e) Does the Lead Agency have “tiered eligibility” (i.e., a separate income limit for remaining eligible for the CCDF program)?

Yes. If yes, **provide** the requested information from Table 3.3.2 and **describe** ____.

Note: This information can be included in a separate table, or by placing a “/” between the entry and exit levels in the above table.

No.

f) SMI Year: ____ and SMI Source: ____

g) These eligibility limits in column (c) became or will become effective on: ____

2.2.6. Eligibility Re-determination

a) What is the re-determination period upon initial authorization of CCDF services for most families?

- 6 months
- 12 months
- 24 months
- Other. Describe ____
- Length of eligibility varies by county or other jurisdiction

b) Is the re-determination period the same for all CCDF eligible families?

Yes.

Draft for Public Comment – September 24, 2010

- No, and **identify** those families where eligibility authorizations differ and the length of re-determination for those families.
 - Families enrolled Head Start Programs. Re-determination period ____
 - Families enrolled in pre-kindergarten programs. Re-determination period ____
 - Families receiving TANF. Re-determination period ____

 - Families who are very-low income, but not receiving TANF. Re-determination period ____
 - Other. Describe ____

2.3. Sliding Fee Scale and Family Contribution

The statute and regulations require Lead Agencies to establish a sliding fee scale that varies based on income and the size of the family to be used in determining each family's contribution (co-payment) to the cost of child care (§98.42).

2.3.1. The sliding fee scale in effect as of October 1, 2011: (658E(c)(3)(B))

- Is State/Territory-wide. Provide at **Attachment 2.3.1**
- Varies by geographic area. Attach all sliding fee scales as **Attachment 2.3.1a, 2.3.1b**, etc.
- Other, list: ____

2.3.2. The attached sliding fee scale(s) became or will become effective on ____

2.3.3. What is the income source and year used in creating the sliding fee scale? (658E(c)(3)(B))

- State Median Income, Year: ____
- Federal Poverty Level, Year: ____
- Income source and year varies by geographic region. Describe income source and year: ____
- Other. Describe income source and year: ____

2.3.4. How is the family's contribution calculated? (§98.42(b))

- Fee as dollar amount
- Fee as percent of income
- Fee per child with the same fee for each child
- Fee per child and discounted fee for two or more children
- No additional fee after certain number of children
- Fee per family
- Contribution schedule varies by geographic area
- Other, list: ____

2.3.5. Does the Lead Agency use other factors in addition to income and family size to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

- Yes, and describe those additional factors:
- No.

2.3.6. The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size. (§98.42(c)). Select ONE of these options.

Reminder – Lead Agencies are reminded that the co-payments may be waived for only two circumstances - for families at or below the poverty level or for children falling under the definition of “protective services” (as defined in 2.3.2.a) on a case-by-case basis.

- ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: \$___
- SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: _____

2.4. Prioritizing Services for Eligible Children and Families

At a minimum, CCDF requires Lead Agencies to give priority for child care assistance services to children with special needs, or in families with very low incomes. Prioritization of CCDF assistance services is not limited to eligibility determination (i.e., establishment of a waiting list or ranking of eligible families in priority order to be served). Lead Agencies may fulfill priority requirements in other ways such as higher payment rates for providers caring for children with special needs, waiving co-payments for families with very low incomes (at or below the federal poverty level). (658E(c)(3)(B), §98.44)

2.4.1. How does the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44)

How does the Lead Agency prioritize CCDF services for:	Eligibility Priority	Other Priority Rules	Is there a time limit on the priority or guarantee?
Children with special needs Provide the Lead Agency definition of	<input type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-	<input type="checkbox"/> Higher eligibility thresholds <input type="checkbox"/> Higher rates for providers caring for children with special	<input type="checkbox"/> Yes. The time limit is: _____

Draft for Public Comment – September 24, 2010

How does the Lead Agency prioritize CCDF services for:	Eligibility Priority	Other Priority Rules	Is there a time limit on the priority or guarantee?
<i>Special Needs Child</i> _____	eligible families <input type="checkbox"/> Guaranteed subsidy eligibility	needs requiring additional care <input type="checkbox"/> Prioritizes quality funds for providers serving these children <input type="checkbox"/> Other. Describe _____	
Children in families with very low incomes Provide the Lead Agency definition of Very Low Income _____	<input type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility		

2.4.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF?

(658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

Reminder - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

- Use priority rules to meet the needs of TANF families
- Waive fees (co-payments) for some or all TANF families who are below poverty level
- Coordinate with other entities (i.e. TANF office, other State/Territory agencies, and contractors)
- Other: _____

2.4.3. Waiting Lists

How would you describe the Lead Agency's waiting list status?

- Lead Agency currently does not have a waiting list and all eligible families are served.
- Lead Agency currently does not maintain a waiting list, but is not serving all eligible families.
- Lead Agency has an active waiting list for:

Draft for Public Comment – September 24, 2010

- All families
- Some Families: Describe those families:

2.4.4. List and define any other terminology related to eligibility and/or priority established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b)) **Reminder** – Lead Agencies are reminded that any eligibility terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2.

Term(s)	Definition(s)

2.5. Parental Choice In Relation to Certificates, Grants or Contracts

The parent(s) of each eligible child who receives or is offered financial assistance for child care services has the option of either enrolling such child with a provider that has a grant or contract for the provision of service or receiving a child care certificate. (658E(c)(2)(A), §98.15(a))

2.5.1. What is the estimated percentage of child care assistance services that will be available through certificates versus grants/contracts?

Certificates ___%

Grants or Contracts ___%

2.5.2. Child Care Certificates

a) When is the child care certificate (also referred to as voucher or authorization) issued to parents? (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

- Before parent has selected a provider
- After parent has selected a provider
- Other. Describe ___

b) How does the Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child care centers, child care group homes, family child care homes, and in-home providers? (§98.30(e)(2))

- Certificate form provides information about choice of providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials (flyers, forms, brochures)
- Referral to child care resource and referral agencies
- Verbal communication at the time of application
- Public Services Announcement
- Agency Web site: ___

Draft for Public Comment – September 24, 2010

- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other. Describe ____

c) What information is included on the child care certificate?
(658E(c)(2)(A)(iii))

- Authorized provider(s)
- Authorized payment rate(s)
- Co-payment amount
- Authorization period
- Other. Describe ____

d) Are child care services provided through certificates offered throughout the State/Territory? (658E(a), §98.16(g)(3))

- Yes.
- No, and **identify** the localities (political subdivisions) and services that are not offered: ____

2.5.3. Child Care Services Available through Grants or Contracts

a) Will the Lead Agency use grants or contracts for child care services to achieve any of the following:

- Increase the supply of specific types of care
 - Programs to serve children with special needs
 - Wrap-around child care in Head Start, pre-k, or other programs
 - Programs to serve infant/toddler
 - Before- and after-school programs
 - Center-based providers
 - Family child care providers
 - Group-home providers
 - Programs that serve specific geographic areas
 - Urban
 - Rural
 - Other. Describe ____
- Support programs in providing higher quality services
- Support programs in providing comprehensive services
- Serve underserved families. Specify: _____
- Other. Describe ____

b) Are child care services provided through grants or contracts offered throughout the State/Territory? (658E(a), §98.16(g)(3))

Draft for Public Comment – September 24, 2010

- Yes.
 No, and **identify** the localities (political subdivisions) and services that are not offered: ____

2.5.4. How will the Lead Agency inform parents and providers of policies and procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds? (658E(c)(2)(B), §98.31)

- Signed declaration
 Parent Application
 Parent Orientation
 Provider Agreement
 Provider Orientation
 Other: ____

2.5.5. The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. (§§98.16(g)(2), 98.30(e)(1)(iv)) Will the Lead Agency limit the use of in-home care in any way?

- The Lead Agency will not limit the use of in-home care.
 The Lead Agency sets the following limits on the use of in-home care:
 Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
 Restricted based on minimum age of provider
 Restricted based on hours of care (number of hours, non-traditional work hours)
 Restricted to care by relatives
 Restricted to care for children with special needs or medical condition
 Restricted to in-home providers that meet some basic health and safety requirements
 Other. Describe ____

2.5.6. Describe how the Lead Agency maintains a record of substantiated parental complaints about providers and makes substantiated parental complaints available to the public on request. (658E(c)(2)(C), §98.32) ____

2.6. Payment Rates for Child Care Services

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish adequate payment rates for child care services that ensure eligible children equal access to comparable care.

2.6.1. Provide a copy of your payment rates as Attachment 2.6.1. The attached payment rates were or will be effective as of: ____.

2.6.2. Are the attached payment rates provided in Attachment 2.6.1 used in all parts of the State/Territory?

Draft for Public Comment – September 24, 2010

- Yes.
- No. Attach other payment rates and their effective date(s) as **Attachment 2.6.2a, 2.6.2b**, etc.

2.6.3. Does the Lead Agency track the timeliness of payments made to child care providers from the time that the provider has completed and supplied the required documentation?

- Yes. Describe how the timeliness of payments is tracked, including the length of time it takes to make a payment to the child care provider: ____
- No

2.6.4. Market Rate Survey

Lead Agencies must complete a local MRS no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2009). The MRS must be completed prior to the submission of the CCDF Plan (refer to Program Instruction CCDF-ACF-PI-2009-02 <http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-02/pi2009-02.htm> for more information on the MRS deadline).

a) Provide the month and year when the most recent local market rate survey(s) was completed (§98.43(b)(2)): ____.

b) Attach a copy of the **Market Rate Survey instrument** and a **summary of the results** of the survey. For Lead Agencies that use a provider database as the instrument, provide a copy of the intake form. The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

2.6.5. Describe the payment rate ceilings in relation to the current MRS.

Are reimbursement rates set at the 75 th percentile or above of the <u>current</u> MRS?		Percentile if rates are lower than 75 th percentile of current MRS
<input type="checkbox"/> Yes, all payment rates are set at or above the 75 th percentile of the current MRS		
<input type="checkbox"/> Yes, some payment rates are set at or above the 75 th percentile of the current MRS	<input type="checkbox"/> Varies by Category of Care. Describe ____ <input type="checkbox"/> Varies by Age of Child. Describe ____ <input type="checkbox"/> Varies by Geographic Region. Describe ____	Provide the percentile (Rate Ceiling). Include the range if the percentile is not the same for all rates.
<input type="checkbox"/> No, none of the payment		Percentile (Rate Ceiling).

Draft for Public Comment – September 24, 2010

rates are set at or above the 75 th percentile of the current MRS.		Include the range if the percentile is not the same for all rates.
---	--	--

2.6.6. Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its reimbursement rates for providing care for subsidized children??

- Differential rate for nontraditional hours. Describe _____
- Differential rate for children with special needs. Describe _____
- Differential rate for infants and toddlers. Describe _____
- Differential rate for higher quality. Describe _____
- Other differential rate. Describe _____

2.6.7. Will the Lead Agency allow providers to charge parents any additional fees?

- Providers are allowed to charge the difference between the maximum reimbursement rate and their private pay rate
- Providers are allowed to charge registration fees/transportation fees
- Providers are allowed to charge additional incidental fees such as field trips or supplies
- Policies vary across region, counties and or geographic areas. Describe _____
- No, providers may not charge parents any additional fees
- Other. Describe _____

2.6.9. Equal Access

CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. To demonstrate equal access, the Lead Agency shall provide at a minimum a summary of facts describing the following elements: (§98.43(a))

- a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available? (§98.43(a)(1)) _____
- b) How payment rates are adequate based on the current MRS? (§98.43(a)(2)) _____
- c) How family co-payments based on a sliding fee scale are affordable? (§98.43(a)(3)) _____

Part 3

Health and Safety and Quality Improvement Activities

In this section, Lead Agencies are asked to describe their goals and strategic plans for implementation of child care quality improvement activities. Under the Child Care and Development Block Grant Act, Lead Agencies have significant responsibility for ensuring the health and safety of children in child care through maintaining a child care licensing system and establishing health and safety standards for children who receive CCDF funds. Health and safety is the foundation of quality, but is not adequate to ensure that programs and staff are competent in supporting all areas of child development and promoting school success.

Quality investments and support systems to promote continuous quality improvement of both our programs and the staff who work in them are a core element of CCDF. This section allows Lead Agencies to describe the steps that they are taking toward continuous quality improvement with a goal of having high quality child care options, across settings, for all families. While one of the key goals for CCDF is helping more low-income children access higher quality care, the Lead Agency should consider its goals and strategic plans for a child care quality improvement system for all families, not just those receiving assistance under CCDF.

This section is organized based on four key components of quality which encompass most of the quality investments and initiatives undertaken by CCDF Lead Agencies:

1. Ensuring health and safety of children through **licensing and health and safety standards**
2. Establishing **early learning guidelines** (sometimes called early learning standards)
3. Creating Pathways to Excellence for Child Care Programs through **Program Quality Improvement Activities** including **Quality Rating and Improvement Systems**
4. Creating pathways to an effective, well-supported child care workforce through **professional development systems and workforce initiatives.**

For each component, Lead Agencies are asked to describe the current status of their efforts, using common practices and best practices to list characteristics. Lead Agencies then are asked to describe their data and performance measures for each component and their goals for making progress during the Biennium FY 2012-2013.

It is expected that the Lead Agency is making systematic investments towards child care quality improvement across its early childhood and school-age spectrum – including all settings, geographic coverage and age range – that will help show progress toward these outcomes and goals. Ultimately, these child care quality

Draft for Public Comment – September 24, 2010

improvement elements should be fully implemented and integrated. Until that point, States/Territories are expected to fall on a continuum of progress. Baseline information on status for these elements and plans for the upcoming two-year period will be captured in this section. Progress on these elements will be reported using the Quality Performance Report in Appendix 2.

3.1. Activities to Ensure the Health and Safety of Children in Child Care (Component #1)

This section is intended to collect information on how Lead Agencies meet the statutory and regulatory provisions related to licensing and health and safety requirements.

3.1.1. Compliance with Applicable State/Territory and Local Regulatory Requirements on Licensing

Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i)). Lead Agencies must describe those licensing requirements and how they are effectively enforced.

Definition: Licensing or regulatory requirements are defined as requirements necessary for a provider to legally operate and provide child care services in a State or locality, including registration requirements established under State, local, or tribal law (§98.2). It does not mean registration or certification requirements for providers solely to provide services for which assistance is provided under the CCDF.

a) Is the Lead Agency responsible for child care licensing? (§98.11(a))

Yes.

No. Please identify the entity/agency responsible for licensing

b) Identify for which categories of care the State/Territory has established licensing requirements. Check all that apply. **Note for States:** In lieu of submitting or attaching their licensing requirements, Lead Agencies may provide their licensing requirements to the National Resource Center for Health and Safety in Child Care and Early Education. Before responding to each question, please check the NRCKid's website at <http://nrckids.org/> to verify the accuracy of your licensing requirements and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKids.**

Child Care Centers. Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work (§98.2).

Draft for Public Comment – September 24, 2010

b-1) If checked, please indicate the following option below that best describes which providers are subject to licensing.

- All center-based child care providers are subject to the State/Territory's licensing or regulatory requirements.
- Some center-based child care providers are exempt from the State/Territory's licensing requirements. The following center-based child care providers are exempt from the State/Territory's licensing requirements:
 - School-based centers operated by State/Territory Departments of Education (i.e., pre-kindergarten programs)
 - Centers operated by religious organizations
 - Summer camps
 - Head Start programs
 - Other. Describe

Group Homes. Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work. (§98.2).

b-1) If checked, please indicate the following option below that best describes which providers are subject to licensing.

- All group home child care providers are subject to the State/Territory's licensing or regulatory requirements
- Some group home child care providers are exempt from the State/Territory licensing requirements. Describe
- N/A. Our State/Territory does not have group home child care.

Family Child Care Homes. Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. (§98.2). **Reminder** - Do not check if family child care home providers simply must *register* or *be certified* to participate in the CCDF program separate from the State/Territory regulatory requirements.

b-1) If checked, please indicate the following option below that best describes which providers are subject to licensing.

- All family child care providers are subject to the State/Territory's licensing or regulatory requirements.
- Some FCC providers are exempt from the State/Territory's licensing requirements. The following family child care providers are exempt from the State/Territory's licensing requirements:
 - Based on the number of children in care
 - Care provided by a relative (in the provider's home)
 - Children in care are siblings or from one family
 - Other. Describe

Draft for Public Comment – September 24, 2010

In-Home providers. In-home child care provider is defined as an individual who provides child care services in the child’s own home. (§98.2). **Reminder** - Do not check if in-home child care providers simply must *register or be certified* to participate in the CCDF program separate from the State/Territory regulatory requirements.

b-1) If checked, please indicate the following option below that best describes which providers are subject to licensing.

- All in-home child care providers are subject to the State/Territory’s licensing or regulatory requirements.
- Some in-home child care providers are exempt from the State/Territory licensing requirements. The following in-home child care providers are exempt from the State/Territory’s licensing requirements:
 - Based on the number of children in care
 - Care provided by a relative (in the child's home)
 - Children in care are siblings or from one family
 - Care provided by a friend or neighbor (in the child's home)
 - Part-time care/occasional care
 - Other. Describe

c) Do you expect the licensing requirements for child care providers to change in FY2012-2013?
 Yes. Describe
 No

3.1.2 Enforcement of Licensing Requirements

Each Lead Agency is required to provide a detailed description of how its licensing requirements are effectively enforced. (658E(c)(2)(E), §98.40(a)(2))

Describe how your State/Territory’s licensing requirements are effectively enforced. At a minimum, this description should include information whether and how the State/Territory uses visits (announced and unannounced) and background checks. The Lead Agency should also describe any other enforcement policies and practices.

a) Does your State/Territory use **announced** and **unannounced** visits to effectively enforce the licensing requirements?
 Yes. If “Yes” please refer to the chart below and check all that apply.
 No

Provider Categories	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input type="checkbox"/> Center-Based Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Less than Once a Year <input type="checkbox"/> Once Every Two Years	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Less than Once a Year <input type="checkbox"/> Once Every Two Years

Draft for Public Comment – September 24, 2010

	<input type="checkbox"/> Other. Describe	<input type="checkbox"/> Other. Describe
<input type="checkbox"/> Group Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Less than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Less than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe
<input type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Less than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Less than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe
<input type="checkbox"/> In-Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Less than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Less than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe

b) Does your State/Territory use **background checks** to effectively enforce the licensing requirements?

- Yes. If “Yes” please refer to the chart below and check all that apply.
 No

Provider Categories	Types of Background Check	Frequency
<input type="checkbox"/> Center-Based Child Care	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe

Draft for Public Comment – September 24, 2010

	<input type="checkbox"/> Self-Certification/ Declaration	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
<input type="checkbox"/> Group Child Care Homes	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
	<input type="checkbox"/> Self-Certification/ Declaration	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe
<input type="checkbox"/> Family Child Care Homes	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe

Draft for Public Comment – September 24, 2010

	<input type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____
	<input type="checkbox"/> Self-Certification/Declaration	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____
<input type="checkbox"/> In-Home Child Care Providers	<input type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____
	<input type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____
	<input type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe

Draft for Public Comment – September 24, 2010

	<input type="checkbox"/> Self-Certification/ Declaration	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe

c) If not performing visits (announced or unannounced) or background checks, how does the State/Territory ensure that its licensing requirements are effectively enforced per the CCDF regulations? (658E(c)(2)(E), §98.40(a)(2))

Describe _____

d) Does the State/Territory have on-line tools or other “search tools” available to parents and the public to view child care program licensing status and compliance records?

- Yes. Describe _____
- No

3.1.3 Compliance with Applicable State/Territory and Local Regulatory Requirements on Health and Safety

Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Such requirements shall include the prevention and control of infectious diseases (including immunization), building and physical premises safety, and minimum health and safety training appropriate to the provider setting. These health and safety requirements apply to all providers caring for children receiving CCDF services and may or may not be covered solely by the licensing requirements. (658E(c)(2)(F), §98.41)

a) **Describe** the health and safety requirements for prevention and control of infectious disease in effect for child care providers of services for which assistance is provided under CCDF. (658E(c)(2)(F)(i), §98.41(a)(1))

The Lead Agency requires:	For each requirement checked, identify which providers must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers

Draft for Public Comment – September 24, 2010

The Lead Agency requires:	For each requirement checked, identify which providers must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input type="checkbox"/> Physical exam or health statement for providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Physical exam or health statement for children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Provider immunizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Child immunizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Hand-washing policy for providers and children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Diapering policy and procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe <div style="background-color: #e0f0ff; height: 15px; width: 50px; margin-left: 5px;"></div>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) **Describe** the health and safety requirements for building and physical premises safety, including policies and practices to protect from environmental hazards, in effect for child care providers of services for which assistance is provided under CCDF. (658E(c)(2)(F)(ii), §98.41(a)(2))

The Lead Agency requires:	For each requirement checked, identify which providers must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input type="checkbox"/> Fire inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Building inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Draft for Public Comment – September 24, 2010

The Lead Agency requires:	For each requirement checked, identify which providers must meet the requirement. Check all that apply.			
<input type="checkbox"/> Health inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Inaccessibility of toxic substances policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Safe sleep policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Transportation policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

c) **Describe** the health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF. (658E(c)(2)(F)(iii), §98.41(a)(3))

	Health and Safety Training Requirements	Pre-Service	On-Going
Child Care Centers	CPR		
	First Aid		
	Training on Infectious Diseases		
	SIDS Prevention (i.e., Safe Sleep)		
	Medication Administration		
	Mandatory Reporting of Suspected Abuse or Neglect		
	Child Development		
	Supervision of Children		
	Behavior Management		
	Nutrition		
	Physical Activity		
	Working with Children with Special Needs or Disabilities		
	Emergency Preparedness and Response		
	Other. Describe 		
Group Home Child	CPR		

Draft for Public Comment – September 24, 2010

	Health and Safety Training Requirements	Pre-Service	On-Going
Care	First Aid		
	Training on Infectious Diseases		
	SIDS Prevention (i.e., Safe Sleep)		
	Medication Administration		
	Mandatory Reporting of Suspected Abuse or Neglect		
	Child Development		
	Supervision of Children		
	Behavior Management		
	Nutrition		
	Physical Activity		
	Working with Children with Special Needs or Disabilities		
	Emergency Preparedness and Response		
	Other. Describe 		
Family Child Care Providers	CPR		
	First Aid		
	Training on Infectious Diseases		
	SIDS Prevention (i.e., Safe Sleep)		
	Medication Administration		
	Mandatory Reporting of Suspected Abuse or Neglect		
	Child Development		
	Supervision of Children		
	Behavior Management		
	Nutrition		
	Physical Activity		
	Working with Children with Special Needs or Disabilities		
	Emergency Preparedness and Response		
	Other. Describe 		
In-Home Child Care Providers	CPR		
	First Aid		
	Training on Infectious Diseases		
	SIDS Prevention (i.e., Safe Sleep)		
	Medication Administration		
	Mandatory Reporting of Suspected Abuse or Neglect		
	Child Development		
	Supervision of Children		
	Behavior Management		
	Nutrition		

Draft for Public Comment – September 24, 2010

	Health and Safety Training Requirements	Pre-Service	On-Going
	Physical Activity		
	Working with Children with Special Needs or Disabilities		
	Emergency Preparedness and Response		
	Other. Describe [redacted]		

d) What are the Lead Agency’s requirements for relative providers (grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles)?

- All relative providers are subject to the same health and safety requirements as described in 3.1.3a-c, as appropriate; there are no exceptions for relatives.
- No relative providers are required to meet all health and safety requirements as described in 3.1.3a-c, as appropriate.
- Relative providers are subject to certain requirements (e.g., different training content or hours). Describe the different requirements below.
 - Relative providers are subject to background checks. Describe [redacted]
 - Relative providers are subject to monitoring visits. Describe [redacted]
 - Other. Describe [redacted]

3.1.4 Data & Performance Measures on Licensing and Health and Safety Compliance – What data elements are the Lead Agency currently collecting on licensing compliance? What does the Lead Agency use for performance measures on ensuring health and safety?

a) **Data collected on licensing and health and safety.** At a minimum, indicate if the Lead Agency or another agency collects:

- Number of licensed programs
- Numbers of programs operating that are legally exempt from licensing
- Number of programs whose licenses were suspended or revoked due to non-compliance
- Number of injuries and fatalities in child care
- Number of monitoring visits received by programs
- Caseload of licensing staff
- Number of programs dropped from CCDF due to non-compliance with health and safety requirements
- Other. Describe [redacted]

b) **Performance measurement.** What does the Lead Agency track as key performance measures on licensing and health and safety requirements?

- c) **Evaluation.** What are the Lead Agency’s plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. _____

3.1.5 Goals for the next Biennium - What are the State/Territory’s goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. higher licensing standards, more programs covered by licensing standards or health and safety requirements, more frequent visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?) Include numeric targets or targets linked to the performance measures listed above, if possible. _____

3.2 Establishing Early Learning Guidelines (Component #2)

3.2.1 Has the State/Territory developed early learning guidelines for children:

- Birth-to-three. Guidelines are included as **Attachment 3.2.1.**
- Three-to-five. Guidelines are included as **Attachment 3.2.1.**
- Five years and older. Guidelines are included as **Attachment 3.2.1.**

Insert web addresses, where possible: _____

3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development? Check all that apply for each age group as applicable in the chart below.

Domains	Birth-to-Three ELG’s	Three-to-Five ELG’s	Five and Older ELG’s
Language, literacy, pre-reading			
Early math skills			
Other cognitive. List _____			
Physical development or health			
Social and emotional development			
Approaches to learning			
Creative arts			
Other. Describe _____			

3.2.3 To whom are the early learning guidelines disseminated?

- Parents in the child care subsidy system
- A broad group of parents using child care
- All parents, in a format that can guide parents as teachers
- Other. List _____

3.2.4 Is training on the guidelines available to child care practitioners in different settings?

- Child care centers
- Group child care homes
- Family child care homes
- In-home child care

3.2.5 Are early learning guidelines incorporated into other parts of the child care system?

- Child care licensing standards
- Quality rating and improvement standards (or similar quality standards)
- Core knowledge and competencies for the child care workforce
- Other. List

3.2.6 Do the early learning guidelines align with other standards in the State/Territory? If yes, please describe.

- K-12 content standards. Describe
- Head Start Outcomes Framework. Describe
- Other. List

3.2.7 Data & Performance Measures on Early Learning Guidelines – What data elements are the Lead Agency currently collecting on the dissemination of, implementation of, or children’s attainment of the Lead Agency’s early learning guidelines? What, if anything, does the Lead Agency use for performance measures on early learning guidelines?

a) **Data collected on early learning guidelines.** At a minimum, indicate if the Lead Agency or a partner agency collects:

- Number/percentage of child care providers trained on ELG’s
- Number of programs implementing ELG’s
- Number of parents trained on or served in family support programs that use ELG’s
- Child assessment data, linked to ELG’s
- Other. Describe

b) **Performance measurement.** Does the lead agency track any performance measures related to early learning guidelines? If so, please describe.

c) **Evaluation.** What are the Lead Agency’s plans for evaluation related to early learning guidelines? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

3.2.8 Goals for the next Biennium - What are the Lead Agency’s goals for using

early learning guidelines in the coming biennium? What progress does the Lead Agency expect to make on the areas described above or other key areas? Include numeric targets or targets linked to the performance measures listed above, if possible.

3.3 Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities including Quality Rating and Improvement Systems (Component #3)

Definition – For purposes of this section, a Quality Rating and Improvement System (QRIS) refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs. This framework contains five key elements of a Quality Rating and Improvement System:

1. Program standards
2. Non-monetary supports
3. Financial incentives
4. Quality assurance and monitoring
5. Outreach and consumer education

It is possible that a State/Territory may have a similar quality improvement system that is not called a Quality Rating and Improvement System for child care programs that contain some or all of these elements. Using this framework, States/Territories should be able to report on their quality improvement activities whether they have a QRIS or not.

3.3.1 Element 1 – Program Standards

Definition – For purposes of this section, program standards refers to the expectations for quality, or quality indicators, which identify different levels of and pathways to improved quality. Licensing and health and safety requirements are also standards but should not be included here since they were addressed in sections 3.1 and 3.2.

a) Do your State/Territory’s quality improvement standards include quality indicators that cover the following areas? Check all that apply.

- Ratios
- Health and safety
- Curriculum and instruction
- Physical environment
- Staff qualifications and professional development
- Family partnerships and family strengthening
- Administration and management
- Child assessment for the purposes of individualizing instruction and/or targeting program improvement
- Developmental screenings
- Other. Describe

Draft for Public Comment – September 24, 2010

b) Do your State/Territory’s quality improvement standards have some consideration for caring for:

- Children with special needs?
- Children who are dual language learners?

c) How do your State/Territory’s quality standards link to State/Territory licensing requirements?

- Licensing is a pre-requisite for participation
- Licensing is the first tier of the quality levels
- State/Territory license is a “rated” license.
- Other. Describe
- Not linked

d) Do your State/Territory’s quality improvement standards align with or have reciprocity with any of the following standards? Check all that apply.

- Early learning guidelines
 - ELG’s for infants and toddlers
 - ELG’s for preschool children
 - ELG’s for school-age children
- Core competencies
- K-12 standards
- State/Territory pre-kindergarten standards
- Head Start performance standards
- Early childhood curricula
- Other. Describe

3.3.2 Element 2 – Non-Monetary Supports

Definition – For purposes of this section, non-monetary supports refers to supports for programs in meeting child care quality improvement standards. For example, non-monetary supports could include technical assistance and consultation services for programs.

a) Identify which types and methods you use to support to child care programs in the following chart. Check all that apply.

Areas of Support	Information or Written Materials	Training	On-Site Consultation
<input type="checkbox"/> Attaining and maintaining licensing compliance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Attaining and maintaining quality improvement standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Social-emotional development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Family engagement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Draft for Public Comment – September 24, 2010

Areas of Support	Information or Written Materials	Training	On-Site Consultation
<input type="checkbox"/> Education curriculum and assessment/classroom practice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Integrating children with special needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Infant and toddler development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Programming for school-age children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) Is your State/Territory’s support to programs individualized, based on the results of the quality assessment? Does it include an individualized improvement plan?

- Yes. If yes, describe
- No

3.3.3 Element 3 – Financial Incentives

Definition – For purposes of this section, financial incentives refers to the types of monetary supports offered to programs in meeting and sustaining licensing and QRIS or other child care quality improvement standards for programs.

a) Identify which types of financial incentives are offered and to which providers in the following chart. Check all that apply.

Types of Financial Incentives	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> On-going, periodic grants or stipends tied to maintaining quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax Credits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3.4 – Element 4 - Quality Assurance and Monitoring

Draft for Public Comment – September 24, 2010

Definition – For purposes of this section, quality assurance and monitoring refers to the ways that the State/Territory assesses program quality for the purposes of its QRIS or other quality improvement system and the methods for measuring that the child care quality improvement standards for programs are met initially and maintained over time.

a) How do you assess and monitor the quality of programs? Check all that apply and briefly describe, including frequency of assessments.

Types of Program Quality Assessment	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Environment Rating Scales Describe, including frequency of assessments. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Program Administration Scale Describe, including frequency of assessments. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Customized instrument developed for State/Territory quality improvement system Describe, including frequency of assessments. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) Has the State/Territory taken steps to establish reciprocity with or alignment with any of the following assessments used in other quality assessment systems in order to minimize duplication?

- Child Care licensing enforcement
- Head Start performance monitoring
- State/Territory Pre-kindergarten programs
- Private accreditation
- Other. Describe

c) Describe how your State/Territory uses child assessment.

- No systematic child assessment is currently being used.

Draft for Public Comment – September 24, 2010

- Child assessment tools are used to assess the progress of children using measures aligned with the early learning standards or other child standards.
- Child assessment used to measure and improve the impact of teaching practices or curriculum implementation.
- Child assessment used to identify children eligible for special services, modify curriculum to meet the needs of individual children, and ease the transition for children and families from home to school.
- Child assessment used to track longitudinal child outcome data to inform policy and practice.
- Child assessment activities are linked with program accountability initiatives (e.g. QRIS, Head Start).
- Other. Describe

3.3.5 – Element 5 - Outreach and Consumer Education

Definition – For purposes of this section, outreach and consumer education refers to the strategies used to promote the child care quality improvement standards to parents, programs and the general public.

a) Does the State/Territory use symbols or simple icons to communicate levels of quality for child care programs? (e.g. stars, or gold/silver/bronze levels).

- Yes. If yes, how is it used?
 - Resource and referral/consumer education services use with parents seeking care
 - Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting
 - Searchable database on the web
 - Voluntarily, visibly posted in programs
 - Mandatory to post visibly in programs
 - Used in marketing and public awareness campaigns
 - Other. Describe
- No

b) Does the State/Territory use multiple forms of media to reach parents and the public?

- Print
- Radio
- Television
- Web
- Telephone
- Social Marketing
- Other. Describe

Draft for Public Comment – September 24, 2010

c) Describe any targeted outreach for culturally and linguistically diverse families. _____

3.3.6 Quality Rating and Improvement System

a) **Based on the five key elements of a QRIS described above, does your State/Territory have a quality rating and improvement system (QRIS) or similar quality improvement system in place?**

- Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating State/Territory-wide.
- Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.
- No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.
- Other. Describe _____

b) If yes to 3.3.1a, **CHECK** the types of providers eligible to participate in the QRIS:

- Child care centers
- Group child care homes
- Family child care homes
- In-home child care
- License exempt providers
- Head Start programs
- Pre-kindergarten programs
- Other. Describe _____

3.3.7 Data & Performance Measures on Program Quality – What data elements is the State/Territory currently collecting on the quality of programs in the State/Territory? What does the State/Territory use for performance measures on program quality improvement?

a) **Data collected on program quality.** At a minimum, indicate if you collect:

- Data on the current quality assessment for individual programs (e.g. QRIS level, assessment instrument score, etc.)
- Number of programs that move levels annually
- Program scores on assessment instruments. List instruments: _____
- Classroom scores on assessment instruments. List instruments: _____
- Qualifications of staff in each program
- Number/Percentage of children in low-income families receiving CCDF assistance in licensed/quality care
- Number/Percentage of programs receiving financial assistance to meet higher program standards

Draft for Public Comment – September 24, 2010

- Child assessment data
- Other. Describe

- b) **Performance measurement.** What are the Lead Agency's performance measures on program quality?
- c) **Evaluation.** What are the Lead Agency's plans for evaluation related to program quality? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

3.3.8 Goals for the next Biennium - What are the State/Territory's goals for the Quality Improvement System in the coming biennium? What progress does the State/Territory expect to make across the five key elements for quality improvement systems? Include numeric targets or targets linked to the performance measures listed above, if possible.

3.4 Pathways to Excellence for the Workforce – Professional Development Systems and Workforce Initiatives (Component #4)

Pathways to excellence for the workforce builds on the significant investments States and Territories have made in the area of professional development systems to ensure a well-qualified workforce with opportunities for growth from entry level through master teacher, with an increasing emphasis on the many additional roles in the child care system (e.g. subject matter consultants and specialists, credentialed or certified trainers, and higher education faculty). In this section, States and Territories describe their progress and goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to six key elements for workforce systems:

- 1) Competencies: Core Body of Skills and Knowledge
- 2) Career Ladder
- 3) Higher Education Capacity
- 4) Training and Technical Assistance Capacity
- 5) Access to Training and Education
- 6) Compensation, Benefits and Working Conditions

3.4.1 Workforce Element 1 - Competencies: Core Body of Skills and Knowledge

Definition – For purposes of this section, core knowledge and competencies (CKC's) refers to the expectations for the workforce on what practitioners should know (content) and be able to do (skills) in different domains of learning and development. These CKC's provide a foundational guide for professional development (instructional practices) and other quality improvement efforts.

Draft for Public Comment – September 24, 2010

a) Has the State/Territory developed core knowledge and competencies (CKC's) for practitioners working with children the following ages? Check all that apply.

- Birth-to-Three CKC's
- Three-to-Five CKC's
- Five years and older CKC's
- Other. Describe
- No, the State/Territory has not developed core knowledge and competencies. Skip to question 3.4.2.

Insert web addresses, where possible:

b) For which roles has the State/Territory developed CKC's? Check all that apply.

- Practitioners (working directly with children, including center-based aides, assistant teachers, teachers, master teachers, educational coordinators, directors and family child care home providers and assistants). Describe
- Administrators. Describe
- Support staff (such as mentors, coaches, home visitors, mental health consultants, etc. Describe
- Education and Training Staff (such as TA providers, CCR&R staff, instructors, faculty). Describe
- Other. Describe

c) Do the CKC's apply to child care practitioners in different settings? Check all that apply.

- Licensed child care centers
- Licensed family child care homes
- License-exempt child care programs
- In-home child care providers

d) Do the CKC's cover a range of domains across physical, cognitive and social and emotional development? Check all that apply.

- Child growth and development
- Health, nutrition, and safety
- Learning environment and curriculum
- Child guidance
- Family and community relationships
- Professionalism
- Professional development
- Administration/Management
- Other. Describe

e) Do the CKC's align with the State/Territory's learning guidelines or standards for children?

Draft for Public Comment – September 24, 2010

- Birth-to-three early learning guidelines or standards
- Preschool early learning guidelines or standards
- School-age developmental learning standards
- K-12 academic standards
- Other. Describe

f) Are the CKC's incorporated into other parts of the child care system? Check all that apply.

- Child care licensing standards
- Quality rating and improvement system standards
- Other. Describe

3.4.2 Workforce Element 2 - Career Ladder

Definition – For purposes of this section, a career ladder (or career lattice) defines levels of knowledge and skill mastery for various practitioner roles and identifies steps for advancement for the workforce recognizing and rewarding higher levels of preparation and mastery of practice to promote higher quality services for children.

a) Does the State/Territory have an early childhood and school-age career ladder which defines the sequence of qualifications related to formal education, professional development, and experience required to work with children? Check all that apply.

- Early childhood career ladder
- School-age career ladder
- Other. Describe
- No, the State/Territory has not developed a career ladder. Skip to question 3.4.3.

Insert web addresses, where possible:

b) Which roles are included in the career ladder? Check all that apply.

- Practitioners (working directly with children, including center-based aides, assistant teachers, teachers, master teachers, educational coordinators, directors and family child care home providers and assistants)
- Administrators
- Support staff (such as mentors, coaches, home visitors, mental health consultants, etc)
- Education and Training Staff (such as TA providers, CCR&R staff, instructors, faculty)
- Other. Describe

c) Does the career ladder include specializations/credentials for any of the following children? Check all that apply.

- Practitioners working with infants and toddlers
- Practitioners working with preschoolers

Draft for Public Comment – September 24, 2010

- Practitioners working with school-age children
- Practitioners working with dual language learners
- Practitioners working with children with disabilities, children with developmental delays, and children with other special needs
- Directors/administrators
- Trainers
- Consultants
- Other. Describe

d) Does the career ladder apply to:

- all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?
- all practitioners working in programs that receive public funds to serve children birth to age 13?

e) Does the career ladder align with the:

- Core knowledge and competencies?
- Early care and education and school-age certification/credentialing system?
- Quality rating and improvement system or other quality improvement system?
- Early learning standards or guidelines?
- Other. Describe

f) Does the State/Territory have a certification process which acknowledges an individual's verified level of educational achievement, experience and professional development, in accordance with the State/Territory career ladder?

- Yes. If yes, describe
- No

3.4.3 Workforce Element 3 - Higher Education Capacity

Definition – For purposes of this section, higher education capacity refers to capability of the higher education system to meet the needs of its workforce and to ensure that the content is addressing the needs of the children.

a) Has the State/Territory assessed the content and course offerings of its institutions of higher education to ensure students are gaining the skills and knowledge necessary to meet the diverse needs of children?

- Yes. If yes, describe
- No

b) Are higher education programs in the State/Territory aligned with:

- Core knowledge and competencies?
- Career ladder?
- Quality Rating and Improvement System?

Draft for Public Comment – September 24, 2010

Early care and education and school-age certification/credentialing system?

c) Does the State/Territory have articulation agreements are in place across and within institutions of higher education and between the training and technical assistance system and higher education?

Yes. If yes, describe

No

3.4.4 Workforce Element 4 -Training & Technical Assistance Capacity

Definition – For purposes of this section, training and technical assistance capacity refers to capability of the training and technical assistance system to meet the needs of a linguistically and culturally diverse workforce and to ensure that the content is addressing the needs of culturally and linguistically diverse children.

a) Does the State/Territory have a training and technical assistance network in place to provide oversight and coordination of all publicly-funded, non-credit, professional development opportunities?

Yes. If yes, describe

No

b) Has the State/Territory has instituted training quality assurance through a training approval or trainer approval certification system?

Yes. If yes, describe

No

c) Are publicly-funded, non-credit training opportunities in the State/Territory aligned with:

Core knowledge and competencies?

Career ladder?

Quality Rating and Improvement System?

Early care and education and school-age certification/credentialing system?

d) Does the State/Territory have mentors and coaches available to work with the early childhood and school-age workforce?

Yes. If yes, describe

No

3.4.5 Workforce Element 5- Access to Training and Education

Definition – For purposes of this section, access to training and education refers to the degree to which practitioners are made aware of, and receive supports and assistance to utilize, professional development opportunities.

a) Does the State/Territory have a State/Territory-wide, coordinated and easily accessible clearinghouse of information about opportunities in

Draft for Public Comment – September 24, 2010

professional development and higher education available to all members of the early childhood and school-age workforce?

- Yes. If yes, describe
- No

Insert web addresses, where possible:

b) Does the State/Territory provide any of the following financial supports for training and education? Check all that apply.

- Scholarships
- Reimbursement for training expenses
- Grants
- Loans
- Loan forgiveness programs

c) Does the State/Territory have career advisors for early childhood and school-age practitioners?

- Yes. If yes, describe
- No

3.4.6 Workforce Element 6- Compensation, Benefits and Working Conditions

Definition – For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating and completing education or training or for increasing compensation.

a) Does the State/Territory provide financial rewards for participation in early childhood or school-age trainings, such as one-time salary bonuses for completing a training or education program?

- Yes. If yes, describe
- No

b) Does the State/Territory provide sustained support on a periodic, predictable basis, such as wage supplements, for completion of a training or education program?

- Yes. If yes, describe
- No

c) Does the State/Territory have a program to offer or facilitate benefits (e.g. health insurance coverage, retirement, etc.) to practitioners?

- Yes. If yes, describe
- No

d) Does the State/Territory's QRIS (if checked yes to 3.3.6a) include activities linked to compensation, benefits or working conditions?

- Yes. If yes, describe

Draft for Public Comment – September 24, 2010

No

3.4.7 Data & Performance Measures on the Child Care Workforce – What data elements is the State/Territory currently collecting on the child care workforce? What performance measures does the State/Territory use to determine its progress on professional development and workforce initiatives?

a) **Data collected on the child care workforce.** At a minimum, indicate if the Lead Agency or a partner agency collects:

- Data on the size of the child care workforce
- Data on the characteristics of teachers
- Records of individual teachers and their qualifications
- Number of scholarships awarded
- Number of individuals receiving bonuses
- Number of credentials and degrees conferred annually
- Qualifications of staff linked to the programs in which they teach
- Other. Describe

b) Does the State/Territory have a workforce data system, such as a workforce registry, which tracks the demographics, compensation, and education and career advancement for practitioners working with children birth to age 13?

Definition– For purposes of this section, a workforce and professional data system refers to a system, such as a workforce registry, that tracks the size and characteristics of the child care workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRS, wage incentives, and credentials.

Yes.

b-1) If yes, which roles are included in the workforce data system? Check all that apply.

- Practitioners (working directly with children, including center-based aides, assistant teachers, teachers, master teachers, educational coordinators, directors and family child care home providers and assistants)
- Administrators
- Support staff (such as mentors, coaches, home visitors, mental health consultants, etc)
- Education and Training Staff (such as TA providers, CCR&R staff, instructors, faculty)
- Other. Describe

b-2) Does the workforce data system apply to:

- all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth

Draft for Public Comment – September 24, 2010

to 13?

all practitioners working in programs that receive public funds to serve children birth to age 13?

No

c) **Performance Measures.** What performance measures does the State/Territory use to track progress in its workforce and professional development systems?

d) **Evaluation.** What are the Lead Agency's plans for evaluation related to its workforce and professional development systems? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

Goals for the next Biennium - What are the State's/Territory's goals for building the professional development system and improving conditions for the workforce in the coming biennium? Consider projected progress across the elements of the workforce and professional development system described above, and offer as many specifics as possible (e.g. implement wage supplement program, develop articulation agreements, increase the number of BA graduates of early childhood programs by 10%, etc.)

AMENDMENTS LOG

CHILD CARE AND DEVELOPMENT FUND PLAN FOR: _____
FOR THE PERIOD: 10/1/11 – 9/30/12

Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a “substantial” change in the Lead Agency’s approved CCDF plan occurs. Please refer to the ACF Program Instruction regarding CCDF Plan amendments for more information

<http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-01/pi2009-01.htm>

Plan amendments must be submitted to ACF within 60 days of the effective date of the change. Under the regulation, the plan amendment must be approved no later than the 90th day following the date on which the amendment is received by ACF unless the Lead Agency and ACF mutually agree in writing to extend the period. (§98.18 (b)).

ACF encourages Lead Agencies to contact the Child Care program staff in the appropriate ACF Regional Office to discuss any proposed amendment as early as possible.

Instructions for Submitting Amendments:

Complete the first 3 columns of the Amendment Log and send a copy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency's Plan.

ACF will complete column 4 and returns a photocopy of the Log to the grantee following its review and approval of the amendment. The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain "old" plan pages that are superseded by amendments in a separate appendix to its Plan. This is especially important as auditors will review CCDF Plans and examine effective date of changes.

Appendix 1

Quality Performance Report

The purpose of this annual report is to capture State/Territory progress on improving the quality of child care. Specifically, this report will:

- Provide a national assessment of State's and Territory's progress toward improving the quality of child care, including a focus on program quality and child care workforce quality;
- Track State's and Territory's annual progress toward meeting high quality indicators and benchmarks, including those that they set for themselves in their CCDF Plans and those that are of interest to the U.S. Department of Health and Human Services in measuring CCDF program performance;
- Provide information in relation to the annual CCDF expenditure report (ACF – 696) to provide more detail on how quality funds are spent;
- Assist national and State/Territory technical assistance efforts to help States/Territories make strategic use of quality funds; and
- Assist with program accountability and compliance efforts tied to quality investments.

This report collects data in relation to the four components of child care quality used as a quality framework in Part 3 of the Child Care and Development Fund Plan for FY 2012-2013:

1. Ensuring health and safety of children in care through licensing and/or CCDF health and safety standards
2. Establishing early learning guidelines (sometimes called early learning standards) to describe what children should know and be able to do
3. Creating pathways to excellence for child care programs through program quality improvement activities including quality rating and improvement systems
4. Creating pathways to an effective workforce through professional development systems and workforce initiatives

Lead Agencies are asked to provide the status on the State/Territory's progress in meeting its goals as reported in the FY 2012-2013 CCDF Plan, and provide data on the results of those activities. Because of the flexibility in administering the CCDF program, it is expected that Lead Agencies may not have information and data available to respond to all questions. At a minimum, Lead Agencies are expected to report on their progress toward meeting the goals articulated in the CCDF Plan for this Biennium. Lead Agencies may provide a narrative update in the data and performance report sections, including any plans for reporting data in the future, if actual data is not currently available. In addition, Lead Agencies are asked to provide information about how its quality expenditures as reported on the ACF-696 relate to

Draft for Public Comment – September 24, 2010

types of quality improvement activities to provide a better understanding of how are quality funds being spent

This annual report will be submitted to ACF no later than December 31, 2012 and the first submittal will reflect the period October 1, 2011 through September 30, 2012.

Ensuring the Health and Safety of Children in Child Care (Component #1)

In this section, Lead Agencies provide information on the minimum health and safety standards and activities in effect over the past year as of September 30, 2012.

1.1 Progress on Overall Goals

1.1.1 Did your State/Territory implement the health and safety system as described in section 3.1.5 of the State/Territory Plan for 2012-2013 with regard to monitoring visits, background checks, and other effective enforcement?

Yes

No. Describe any discrepancies and, if applicable, include any barriers to implementing your planned goals or newly instituted activities that were not included in the 2012-2013 Plan. _____

Note: If your licensing standards changed during this period, please provide a brief summary of the major changes and submit the updated regulations to the National Resource Center for Health and Safety in Child Care (www.nrckids.org.)

1.1.2 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.1.5, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., revised licensing regulation to include elements related to SIDS prevention, Lowered caseload of licensing staff to 1:50, or increased monitoring visits to twice annually for child care centers).

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

1.2 Key Data

1.2.1 Number of licensed programs

a) How many licensed center-based programs operated in the State/Territory as of September 30, 2012? _____ or Data not available

Draft for Public Comment – September 24, 2010

b) How many licensed home-based programs operated in the State/Territory as of September 30, 2012? _____ or Data not available

c) Does the State/Territory have data on what proportion of programs (i.e., paid care provided on a regular basis by an unrelated caregiver outside of the child’s own home) operating in the State/Territory are subject to licensing regulations?

Yes. If yes, include the number/percentage of programs and describe

No

1.2.2 What proportion of programs received monitoring visits, and at what frequency, for each provider category as of the end of the last fiscal year? The State/Territory considers the past year to be from _____ to _____. This does not need to be the Federal fiscal year, if the State/Territory tracks this data on calendar year, State/Territory fiscal year, or some other basis.

a) What proportion of licensed center-based programs were visited as of the end of the last fiscal year? _____ What was the average number of visits?

b) What proportion of licensed family child care programs were visited as of the end of the last fiscal year? _____ What was the average number of visits?

c) What proportion of legally exempt providers, receiving CCDF were visited as of the end of the last fiscal year? _____ What was the average number of visits? _____

Data not available

1.2.3 How many programs had their licenses suspended or revoked due to licensing violations as of the end of the last fiscal year?

	Suspended	Revoked
Licensed Centers		
Licensed Homes		
<input type="checkbox"/> Data not available		

1.2.4 How many programs were terminated from participation in CCDF subsidies due to failure to meet licensing or minimum CCDF health and safety requirements?

Child Care Centers _____

Group Child Care Homes _____

Family Child Care Homes _____

In-Home Providers _____

Data not available

1.2.5 How many previously license-exempt providers were brought under the licensing system as of the end of the last fiscal year? _____

1.2.6 How many injuries or fatalities occurred in child care as of the end of the last fiscal year? _____

1.3 Performance Measures

For the State/Territory performance measures or targets related to licensing and health and safety in CCDF reported in Section 3.1.4 of the FY 2012-2013 Plan, please report the current status and include numeric targets where possible.

Performance Measures or Targets Described in FY 2012-2013 CCDF Plan	Describe Status – Include Examples and Numeric Targets where Possible

Establishing Early Learning Guidelines (Component #2)

2.1 Progress on Overall Goals

2.1.1 Did the State/Territory make any change to its early learning guidelines or standards as of the end of the last fiscal year?

- Yes. Describe _____
- No

2.1.2 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.2.8, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs trained on using the ELG’s, Aligned the ELG’s with Head Start Outcomes Framework).

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

2.2 Key Data

2.2.1 What proportion of programs were trained on early learning guidelines (ELG’s) or standards as of the end of the last fiscal year?

Draft for Public Comment – September 24, 2010

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's
What proportion of center-based programs were trained on ELG's over the past year?	_____	_____	_____
How many children are served in program implementing the ELG's?	_____	_____	_____
What proportion of family child care programs were trained on ELG's over the past year?	_____	_____	_____
How many children are served in program implementing the ELG's?	_____	_____	_____
What proportion of legally exempt providers were trained on ELG's over the past year?	_____	_____	_____
How many children are served in program implementing the ELG's?	_____	_____	_____
<input type="checkbox"/> Data not available			

2.3 Performance Measures

For the State/Territory performance measures or targets related to establishing early learning guidelines or standards in CCDF reported in Section 3.2.8 of the FY 2012-2013 Plan, please report the current status and include numeric targets where possible.

Performance Measures or Targets Described in FY 2012-2013 CCDF Plan	Describe Status – Include Examples and Numeric Targets where Possible

Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities including Quality Rating and Improvement Systems (Component #3)

3.1 Progress on Overall Goals

3.1.1 Did the State/Territory implement a Quality Rating and Improvement System or other program quality improvement activities as described in Section 3.3 of the FY 2012-2013 Plan?

Yes

Draft for Public Comment – September 24, 2010

No. Describe any discrepancies and, if applicable, include any barriers to implementing your planned goals or newly instituted activities that were not included in the 2012-2013 Plan.

3.1.2 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.3.3, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs included in the QRIS, Aligned the QRIS standards with Head Start performance standards, or expanded the number of programs with access to an on-site quality consultant).

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

3.2 Key Data

3.2.1 How many programs received on-site technical assistance in the following areas as of the end of the last fiscal year?

- Health and safety _____
- Social and emotional development _____
- Family engagement/family support _____
- Education curriculum and classroom practice _____
- Integrating children with special needs _____
- Infant and toddler development _____
- Programming for school age children _____
- Data not available

3.2.2 How many programs received financial support to achieve and sustain quality as of the end of the last fiscal year?

- a) One-time awards or bonuses:
 - Child Care Centers _____
 - Family Child Care Homes _____
 - Data not available
- b) On-going or Periodic quality stipends:
 - Child Care Centers _____
 - Family Child Care Homes _____
 - Data not available

3.2.3 What is the participation rate (number and percentage) in the State/Territory QRIS or other quality improvement system for programs as of the end of the last fiscal year?

- Child Care Centers _____
- Family Child Care Homes _____

Draft for Public Comment – September 24, 2010

License-Exempt Providers _____
 Data not available

3.2.4 How many programs progressed up a QRIS level or achieved other quality threshold established by the State/Territory as of the end of the last fiscal year? Describe metric, such as accreditation.

Child Care Centers _____
 Family Child Care Homes _____
 License-Exempt Providers _____
 Data not available

3.2.5 How many programs are at each level of quality? Describe metric, such as accreditation.

Child Care Centers _____
 Family Child Care Homes _____
 License-Exempt Providers _____
 Data not available

3.2.6 What percentage of CCDF subsidized children are participating in a program that participates in the State or Territory’s quality improvement system as of the end of the last fiscal year? What percentage are in high quality care? (If the State/Territory does not have a formal QRIS, the State/Territory may define another quality indicator and report it here.)

Percentage of CCDF children served in participating programs _____
 Percentage of CCDF children served in high quality care _____ (May define with assessment scores, accreditation, or other metric, if no QRIS.)
 Data not available

3.3 Performance Measures

For the State/Territory performance measures or targets related to related to program quality improvement in CCDF reported in Section 3.3.7 of the FY 2012-2013 Plan, please report the current status and include numeric targets where possible.

Performance Measures or Targets Described in FY 2012-2013 CCDF Plan	Describe Status – Include Examples and Numeric Targets where Possible

Pathways to Excellence for the Child Care Workforce: Professional Development Systems and Workforce Initiatives (Component #4)

4.1 Progress on Overall Goals

4.1.1 Did the State/Territory implement the professional development system and workforce initiatives as described in Section 3.4 of the FY 2012-2013 Plan?

Yes

No. Describe any discrepancies and, if applicable, include any barriers to implementing your planned goals or newly instituted activities that were not included in the 2012-2013 Plan. _____

4.1.2 Based on the goals described in the Lead Agency’s CCDF Plan at Section 3.3.3, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Implement a wage supplement program, Develop articulation agreements).

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

4.2 Key Data

4.2.1 How many teachers/caregivers had the following qualifications as of the end of the last fiscal year?

	Child Care Center Teachers	Family Child Care Providers
Child Development Associate (CDA)		
State/Territory Credential		
Associate’s degree		
Bachelor’s degree		
<input type="checkbox"/> Data not available		

4.2.2 How many teachers/caregivers were included in the professional development registry as of the end of the last fiscal year?

Staff in child care centers _____

Staff in family child care homes _____

License-exempt practitioners _____

Data not available

4.2.3 How many teachers/caregivers received credit-based training as of the end of the last fiscal year?

Staff in child care centers _____

Staff in family child care homes _____

License-exempt practitioners _____

Draft for Public Comment – September 24, 2010

Data not available

4.2.4 How many credentials and degrees were awarded through institutions participating in the professional development system as of the end of the last fiscal year? If possible, list the type of credential or degree and in what type of setting the practitioner worked.

Setting	Type of Credential	Type of Degree
Staff in child care centers	List and provide number	List and provide number
Staff in family child care homes	List and provide number	List and provide number
License-exempt practitioners	List and provide number	List and provide number
<input type="checkbox"/> Data not available		

4.2.5 How many teachers or other professionals received coaching or TA as of the end of the last fiscal year? Describe any data you track on coaching, mentoring, or specialist consultation. If possible, include in what type of setting the practitioner worked.

Setting	Type of Coaching or Technical Assistance
Staff in child care centers	List and provide number
Staff in family child care homes	List and provide number
License-exempt practitioners	List and provide number
<input type="checkbox"/> Data not available	

4.2.6 What financial supports were funded over the past fiscal year to support teachers and caregivers in meeting and maintaining standards and qualifications as of the end of the last fiscal year?

- Scholarships. How many teachers received? _____
- Reimbursement for Training Expenses. How many teachers received? _____
- Loans. How many teachers received? _____
- Wage supplements. How many teachers received? _____
- Other. Describe _____
- Data not available

4.3 Performance Measures

For the State/Territory performance measures or targets related to the child care workforce in CCDF reported in Section 3.5 of the FY 2012-2013 Plan, please report the current status and include numeric targets where possible.

Draft for Public Comment – September 24, 2010

Performance Measures or Targets Described in FY 2012-2013 CCDF Plan	Describe Status – Include Examples and Numeric Targets where Possible

How Were CCDF Quality Funds Spent?

5.1 Based on the financial information provided in your most recent ACF-696 expenditure report, **identify** the percentage of CCDF quality funds the Lead Agency used at least in part to support activities in these six areas. List the percentage based on activities funded for each funding category.

ACF-696 Quality Funding Categories	Licensing and Health and Safety Activities (staff, automation)	Technical Assistance to Programs (e.g., consultation)	Financial Supports for Programs (e.g., Grants, Tiered Reimbursement)	Workforce and Professional Development Activities (e.g., Training, Coaching, Scholarships)	Data Systems for Programs/Workforce	Consumer Education
Quality Activities (excluding Targeted Funds)	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %
Quality Expansion Targeted Funds	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %
Infant and Toddler Targeted Funds	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %
School-Age/Resource and Referral Targeted Funds	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %
Other Funds. Describe: _____	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %
Total Combined Quality Funds including Targeted Funds	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %

APPENDIX 2

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))

Draft for Public Comment – September 24, 2010

- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

1. Assurance of compliance with Title VI of the Civil Rights Act of 1964:

<http://www.hhs.gov/forms/HHS690.pdf>

2. Certification regarding debarment:

<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>

3. Definitions for use with certification of debarment:

<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>

4. HHS certification regarding drug-free workplace requirements:

<http://www.acf.hhs.gov/programs/ofs/grants/drugfree.htm>

5. Certification of Compliance with the Pro-Children Act of 1994:

<http://www.acf.hhs.gov/programs/ofs/grants/tobacco.htm>

6. Certification regarding lobbying:

<http://www.acf.hhs.gov/programs/ofs/grants/lobby.htm>

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.